



USAID
FROM THE AMERICAN PEOPLE

Agricultural Growth Program – Livestock Market Development

REQUEST FOR APPLICATIONS

Agricultural Growth Program – Livestock Market Development Project RFA No. 001

Issuance Date: June 17, 2013
Questions Due: June 28, 2013, at 3pm
Stage 1 Applications Due: July 19, 2013, at 3pm

Dear Applicant:

The Agricultural Growth Program – Livestock Market Development Project (LMD) is seeking concept papers as part of its objective of stimulating investment and innovation in the livestock sector with the over-riding aim of improving the productivity and competitiveness of selected livestock value chains: meat/live animal and dairy. The grants will be awarded and implemented in accordance with USAID and U.S. Government regulations governing grants under contracts and LMD's internal grant management policies.

The grant application is a two-stage process. The first stage requires the applicant to submit a Grant Summary Form, providing a brief summary of the activity the applicant is proposing, by 3pm on **July 19, 2013**, following the submission instructions in Section IIIC of this RFA. If an applicant's grant summary form is accepted, the applicant will move to the second step of the process, where they will be asked to complete a full grant application form. Applicants with questions about the first application stage or about this RFA in general should submit their questions to grants@livestockmarketdevelopment.com or to Fekadu Demisses, Innovation Fund Manager, 4th floor, Palm Building, CMC Road, Addis Ababa, by 3pm on **June 28, 2013**. LMD will then publish all the questions it receives and responses in advance of the due date.

For those applicants who are invited to complete a full application form, the project will hold a Grants Application Workshop on August 5, 2013 starting at 10:00 am at a location to be selected in Addis Ababa. Selected applicants will be notified of their selection and the location of the workshop on or before July 29, 2013. This workshop will allow applicants the chance to ask questions about the full application and receive guidance on how to complete the application form. Only one person may attend from each organization, and attendance is required for further consideration of award.

LMD anticipates awarding up to \$1 million through no more than 20 awards. Each grant award may range from between \$25,000 and \$100,000, and the type of grant will be determined during the negotiation process based on the activities proposed. The duration of any grant award under this solicitation is expected to be no more than 12 months. The estimated start date of grants awarded under this solicitation is October 15, 2013.

Annexes included with this Request for Applications:

- **Annex A** – Grants Summary Form
- **Annex B** – Grant Application Form
- **Annex C** – Grant Implementation Timeline
- **Annex D** – Grant Application Budget Form
- **Annex E** – Applicant Self-Assessment Form
- **Annex F** – Required Certifications
- **Annex G** – Survey on Ensuring Equal Opportunity for Applicants

SECTION I. PROJECT DESCRIPTION

IA. OBJECTIVE

LMD is awarding grants to value chain drivers, including private businesses and producer-based cooperatives, unions or associations, to improve their business skills, marketing practices, supply chains, service provision, other management capacities; to provide investment to initiate or expand operations and introduce new technology; and to have the skills they need to make the most of their investments over the long-term.

IB. BACKGROUND

USAID-Ethiopia's Agricultural Growth Program-Livestock Market Development project is a five-year project being implemented as part of the U.S. Government's Feed the Future (FTF) Initiative. This project is part of USAID's contribution to the Government of Ethiopia's Agricultural Growth Program (AGP). The AGP's goal "to end poverty and enhance growth" aligns with FTF's goal to "sustainably reduce poverty and hunger." The project aims to foster growth and reduce poverty through improving the productivity and competitiveness of selected livestock value chains: meat/live animals, hides/skins/leather and dairy. Project operations will primarily take place in AGP-targeted woredas of Tigray, Amhara, Oromia and SNNPR, in order to effectively reach large number of smallholder producers. In addition, the project will use and build upon local organizations' experience and extensive professional and social networks throughout these four regions.

The Livestock Market Development project will address USAID's Strategic Objective of improving smallholder incomes and nutritional status through the achievement of three key USAID intermediate results, involving five project components. The project will apply a holistic value chain development approach to ensure that the project transforms the targeted value chains from infancy to maturity. This will self-propel value chains, capable of taking ownership of their own future development, by addressing systemic bottlenecks and facilitating value chain participants' own engagement and investment.

Key themes driving Livestock Market Development project approach include:

- Market development
- Increased productivity and efficiency throughout the livestock value chain
- Private sector focus and investment
- Smallholder impact
- Gender mainstreaming
- Environmental conservation

The project runs from September 17, 2012 to September 30, 2017, and is being implemented by national and international consortium members led by CNFA.

International Sub-Contractors: Netherlands Development Organization (SNV), International Medical Corps (IMC), International Institute for Communications and Development (IICD), Institute of International Education (IIE) and J. E Austin Associates (JAA).

National Sub-Contractors: Digital Opportunity Trust (DOT) Ethiopia, Precise International Consult PLC, TREG Consul PLC, and BCaD Consulting Management PLC.

Regional Implementing Partners: Relief Society of Tigray (REST), Organization for Rehabilitation (ORDA) and Development in Amhara (ORDA), Oromo Grassroots Initiatives (HUNDEE) and Self Help Africa-Ethiopia

Project Goal: Support the Federal Democratic Republic of Ethiopia’s Agricultural Growth Program (AGP) by improving smallholder incomes and nutritional status through investments in selected livestock value chains.

The project will be implemented in the four regional states targeted by Ethiopia’s AGP: Oromia, Amhara, Tigray, and SNNP. The main LMD implementer in the regional states will be the regional implementing partners under guidance and coordination from LMD’s regional coordinators and supported by Addis Ababa based office headed by the project Chief of Party.

IC. DETAILED PROJECT DESCRIPTION

The overall purpose of the LMD Grants Program is to provide funding for activities that directly contribute to the objectives of LMD and are within LMD’s strategy and project implementation approach. Recipients will be those best placed to address key value chain and systemic constraints, and the funds will stimulate value chain actors to introduce and pilot innovations by buying down the financial risks of innovation.

Grant-funded activities being solicited under this RFA include:

- **Productivity-Enhancing or Value-added Technologies** for value chain and agribusiness development, e.g. for dairy processing, feed production and processing, animal slaughtering including mobile abattoirs, meat processing, meat by-product processing, artificial insemination services, production and sale of improved livestock breeds, embedded services to producers, packaging, developing new markets, and/or livestock product improvements; special focus on technologies proven to reduce women’s labor burden and increase profitability and productivity of women’s activities.
- **Market Infrastructure** - invest in market and transportation infrastructure such as milk and animal collection centers, terminal markets, transportation, feedlots, cold chain facilities, and producer organizations’ innovations.

Proposals will be accepted from private firms and organizations (value chain drivers, farmer coops, unions, associations, etc.). All recipients are required to provide cost-sharing or matching funds. Applicants should be striving to improve their business skills, marketing practices, supply chains, other management capacities; to provide investment to initiate or expand operations and introduce new technology; and to have the skills they need to make the most of their investments over the long-term.

Proposals should contribute to one or more of the LMD project indicators, and communicate the expected outcomes in terms of these indicators, as possible. These indicators include:

- New, full-time jobs created
- Percent increase of sales of processors, exporters, cooperatives, service providers, input providers
- Percentage change in processing capacity of firms/organizations engaged in livestock related activities
- Number of farmers, private sector firms and others who have applied new technologies or management practices
- Value of exports of targeted commodities
- Value of new private sector investment leveraged by the project
- Number of MSME’s receiving assistance to access loans
- Number of firms receiving assistance to invest in improved technologies
- Number of firms/organizations that obtain certification with an international quality control institution
- Value of incremental sales collected at the farm level (and the number of households affected)
- Gross margin per animal (cattle, sheep, goats)

LMD will closely monitor awardees and measure their achievements in terms of the indicators listed above in addition to the number of households benefitting.

LMD recognizes that some grantees may need technical assistance to more effectively carry out the activity. Consequently, applicants are encouraged to specify their needs for technical assistance and/or training in their application.

SECTION II. ELIGIBILITY

IIA. ELIGIBLE ORGANIZATIONS

Grants to be awarded under this RFA may be extended to:

- private international organizations registered locally,
- public-private entities,
- private firms,
- primary cooperatives,
- cooperative unions/trade unions,
- sectoral or professional associations,
- other value chain actors.

IIB. ADDITIONAL CONDITIONS OF ELIGIBILITY

- Applicants must be registered Ethiopian organizations formally constituted, recognized by and in good standing with appropriate Ethiopian authorities and compliant with all applicable civil and fiscal regulations. A copy of the registration certificate is required with the submission of the Grant Summary Form.
- All applicants must contribute a minimum cost share (cash or in-kind). Cost sharing from co-funders (excluding any and all U.S. Government funds) may also count as cost share. The cost-share requirement varies based on the nature of the applicant's organization, as detailed in Section IIE below.
- Applicants must be able to demonstrate successful past performance in implementation of integrated development projects related to LMD's priority areas.
- Applicants must have established outreach capabilities with linkages to the beneficiary group(s) identified in the project description. This should be reflected by the incorporation of the beneficiary perspective in the application.
- Faith-based and community groups will receive equal opportunity for funding in accordance with the mandated guidelines laid out in Annex G of this RFA except for faith-based organizations whose objectives are for discriminatory and religious purposes, and whose main objective of the grant is of a religious nature.
- Applicants must display sound management in the form of financial, administrative and technical policies and procedures and present a system of internal controls that safeguard assets; protect against fraud, waste and abuse; and support the achievement of project goals and objectives. LMD will assess this capability prior to awarding a grant.
- Grantees must agree to comply with the Branding and Marking requirements, if awarded a grant.
- Applicant must comply with applicable environmental standards and regulations.
- Applicants must sign the following required certifications prior to receiving a grant. The certifications are attached to this solicitation (Annex F) and LMD will review them with applicants.
 - Certification Regarding Terrorist Financing
 - Certificate of Compliance
 - Certification of Recipient Regarding Lobbying (if grant will exceed \$100,000)

LMD encourages applications from new organizations who meet the above eligibility criteria.

IIC. INELIGIBLE ORGANIZATIONS

LMD grant funds may not be extended to the following:

- Organizations that are not legally registered, with the exception of informal community based groups;
- Any public international organization unless specifically approved by the USAID Mission Director;
- Any entity that has been found to have misused USAID funds in the past;
- Political parties, groupings, or institutions or their subsidiaries and affiliates;
- Organizations that advocate, promote, or espouse anti-democratic policies or illegal activities;
- Faith-based organizations whose objectives are for discriminatory and religious purposes, and whose main objective for the grant is of a religious nature;
- Military organizations;
- Individuals;
- Any entity included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID;
- Any entity whose name appears on the List of Parties Excluded from Federal Procurement and Non-procurement Programs in SAM (<http://www.sam.gov/>);
- Any entity with a member that appears on the U.S. Department of Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons list, which is available online at OFAC's website:
<http://www.treasury.gov/ofac/downloads/t11sdn.pdf>
- An organization that refuses to sign the required certifications.

IID. INELIGIBLE EXPENSES

LMD grant funds may not be utilized for the following:

- Construction or infrastructure activities of any kind;
- Ceremonies, parties, celebrations, or “representation” expenses;
- Purchases of restricted goods, such as: restricted agricultural commodities, motor vehicles including motorcycles, pharmaceuticals, medical equipment, contraceptive products, used equipment; without the previous approval of LMD, or prohibited goods, prohibited goods under USAID regulations, including but not limited to the following: abortion equipment and services, luxury goods, etc.;
- Alcoholic beverages;
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/nationality (Burma (Myanmar), Cuba, Iran, North Korea, (North) Sudan and Syria);
- Any purchase or activity, which has already been made;
- Purchases or activities unnecessary to accomplish grant purposes as determined by the LMD project;
- Prior obligations of and/or, debts, fines, and penalties imposed on the Grantee;
- Creation of endowments.

IIE. COST SHARE REQUIREMENTS

Cost share is required for all grants funded under LMD. The grantee's contribution may be met through cost sharing, co-funding (funding from other donors), project income, or some combination of the three. Applicants will propose a minimum contribution of 50% of the total project cost either in cash or in-kind. The nature and amount of this contribution must be clearly defined in the grant application, and the applicant must identify the means to verify this contribution. In their grant applications, applicants should distinguish between cost share that is already committed and cost

share that is only anticipated. Note that funding from other U.S. Government programs/projects may not be considered as cost share.

The required ratio of matching funds differs by recipient, as detailed in the table below.

Types of Grants	Targeted Recipients	Ratio Matching fund to grant requirement	Size of Grants: Range (Average)
Productivity-Enhancing or Value-added Technologies for value chain and agribusiness development, e.g. for dairy processing, feed production and processing, animal slaughtering including mobile abattoirs, meat processing, meat by-product processing, feedlots, artificial insemination services, production and sale of improved livestock breeds, embedded services to producers, packaging, developing new markets, and/or livestock product improvements; special focus on technologies proven to reduce women's labor burden and increase profitability and productivity of women's activities. ¹	Value chain drivers, farmer coops, unions associations	2:1	\$50,000-\$100,000
Market Infrastructure - invest in market and transportation infrastructure such as milk and animal collection centers, terminal markets, transportation, feedlots, cold chain facilities, and producer organizations' innovations.	Value chain drivers, farmer coops, unions associations	2:1 for value chain drivers 1:1 for coops, unions and associations	\$25,000 - \$50,000

SECTION III. APPLICATION AND SUBMISSION INFORMATION

IIIA. INSTRUCTIONS TO APPLICANTS

Applicants must propose strategies for the implementation of the project description described above, introducing innovations that are appropriate to their organizational strengths. The application process for this RFA is divided into **two stages**:

- **Stage 1:** Applicants are required submit a completed **Grant Summary Form** (see Annex A) by the date specified below in Section IIC, as Stage 1 of the application process, along with proof of registration. LMD will answer any questions about the Grant Summary Form, which are submitted by the deadline for questions specified below in Section IIC. LMD will review Grant Summary Forms and will accept or reject the form based on the evaluation criteria outlined in Section IVA. Those applicants whose forms are rejected will be notified and provided an explanation for the rejection. The applicants whose forms are accepted will move on to Stage 2, as is explained below.
- **Stage 2:** Applicants that are invited to advance to Stage 2 will be required to complete the attached full **Grant Application Form** (see Annex B), along with an implementation timeline (Annex C), complete budget (Annex D), and self-assessment (Annex E) by the date to specified at the required Grant Application Workshop to be held on August 5, 2013. At the

¹ Requirements for applicant grant matching requirements and grant value minimums will be reduced for women-owned businesses or entrepreneurs such that female applicants will be required to provide 0.5:1 matching investment, including in-kind contributions taking into consideration value of women's labor; minimum grant will be \$5,000; groups of women will be eligible to apply as well as individuals and women owned businesses.

Grant Application Workshop, LMD staff will provide guidance on completing the full application and will answer any questions about the application. **Although these forms are provided in this solicitation as Annexes for reference, only applicants whose Grant Summary Form is accepted should submit them to LMD.** The full application will be evaluated by the Technical Evaluation Committee in accordance with the criteria outlined in Section IVB.

IIIB. ADDITIONAL REQUIREMENTS FOR APPLICANTS

Templates to be used for the Grants Summary Form and, if applicants are invited, full Grant Applications are provided in Annexes A-E. Applicants shall present their applications in English in the formats provided, and shall follow the instructions and guidelines listed in these annexes.

All grant activity costs must be within the normal operating practices of the applicant and in accordance with its written policies and procedures. For applicants without an audited indirect cost rate, the full application budget provided at application Stage 2 may include direct costs that will be incurred by the Applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant objective.

All application materials must be signed by an authorized agent of the Applicant.

All applicants selected for award are subject to a pre-award responsibility determination conducted by LMD to ascertain whether the applicant has the minimum management capabilities required to handle US government funds. The applicant self-assessment is the first step in the pre-award responsibility determination process, and must be completed by all applicants who proceed to Stage 2. The Applicant Self-Assessment Form is contained in Annex E.

All applicants selected for award must sign the required certifications included in Annex F prior to receiving a grant.

Applicants will not be reimbursed for the costs incurred in preparation and submission of an application. All preparation and submission costs are at the applicant's expense.

IIIC. STAGE 1 APPLICATION SUBMISSION INFORMATION

Grants Summary Forms shall be submitted in the format provided in Annex A, in English and may not be more than four pages in length. The Grants Summary Form is the standardized format to be used for the Concept Paper submission. Grants Summary Forms should be submitted in electronic or hard copy to LMD at the address below and should reference RFA No. 001. Applications must be submitted no later than 3pm local time, on July 19, 2013. Late or unresponsive applications will not be considered. It is the applicants' responsibility to confirm receipt of submitted applications.

Agricultural Growth Program – Livestock Market Development Project
CMC Road, Opposite Civil Service College
Palm Addis Bldg 3rd and 4th Floor
grants@livestockmarketdevelopment.com

In addition to the application forms, applicants **must** submit the following to LMD:

- A copy of the Applicant's valid legal registration.

Please submit all questions concerning this solicitation to Fekadu Demisses, Innovation Fund Manager, Agricultural Growth Program – Livestock Market Development Project
CMC Road, Opposite Civil Service College, Palm Addis Bldg 3rd and 4th Floor, or via email at grants@livestockmarketdevelopment.com, by 3pm on June 28, 2013. LMD will assist applicants in

understanding the application process, and will publish all the questions it receives and responses in advance of the due date.

IIID. STAGE 2 APPLICATION SUBMISSION INFORMATION

In order to be considered for a grant award, an applicant must undergo the two-step scoring process as described above. The Grant Summary Form submitted during Stage 1 is included in the application for Stage 2. A complete Stage 2 submission must include the following:

1. GRANT SUMMARY FORM – already submitted and accepted by LMD in Stage 1
2. PROOF OF REGISTRATION – already submitted and accepted by LMD in Stage 1
3. GRANT APPLICATION WORKSHOP PARTICIPATION – required for continuing eligibility in Stage 2
4. GRANT APPLICATION FORM – completed in Stage 2 (Annex B)
5. IMPLEMENTATION TIMELINE – completed in Stage 2 (Annex C)
6. DETAILED BUDGET – completed in stage 2 (Annex D)
7. APPLICANT SELF-ASSESSMENT – completed in Stage 2 (Annex E)

Applicants will be informed as to the details of to whom to submit their full applications at the required Grant Application Workshop to be held on August 5, 2013. Full Stage 2 Applications will be due on Sept 15, 2013.

Concurrent with the Stage 2 evaluation process, short-listed applicants will be asked to submit full supporting documentation to illustrate that the applicant has the technical capacity to implement the grant, as well as the financial and administrative systems in place to adequately account for the grant funds as detailed in the LMD Grants Manual. Site visits may be conducted by the LMD project staff to evaluate the applicant in these areas and gather supporting documentation, which may consist of the following:

1. MANDATORY CERTIFICATIONS (see Annex F)
2. AUDITED FINANCIAL STATEMENTS – if available. English translation desirable, but not required. If no recent audit has been conducted, a revenue and expense statement and balance sheet for the previous financial year must be attached.
3. SUPPORTING COST DATA – including payroll records and financial expenditures reports from previous activities.

SECTION IV. APPLICATION EVALUATION

IVA.APPLICATION STAGE ONE – GRANT SUMMARY FORM EVALUATION

All Grant Summary Forms submitted in Stage 1 will be reviewed by an internal review panel comprised of LMD staff, and recommendations may be vetted by a larger group. Grants Summary Forms will be evaluated on a pass/fail basis against the following criteria:

- Is the organization eligible to receive LMD grant funding?
- Is the activity consistent with the objectives of LMD and does it contribute to the project's results and indicators?
- Does concept paper include the required amount of cost share?

- Does the organization demonstrate adequate capability to manage the activity or does it have previous experience relevant to the activity proposed?
- Does the proposed activity fall within the project description for grant funding outlined in the RFA?
- Does the activity consider smallholder farmers, women, people living with HIV/AIDS (PLHIV) and vulnerable groups in the LMD woredas as beneficiaries?

Should LMD receive more than 20 Grant Summary Forms, which satisfy the above criteria, LMD will rank the applications and only invite up to 30 of the highest-ranked applicants to Stage 2. Therefore, invitation to Stage 2 does not guarantee final approval and funding. However, applicants not approved in Stage 2, are eligible to apply for future funding.

IVB.APPLICATION STAGE TWO – FULL GRANT APPLICATION EVALUATION

For applicants whose Grants Summary Forms were accepted and invited to proceed to Stage 2, specific criteria will be used for evaluating full applications. Full applications will be evaluated against the evaluation criteria in the table below.

ILLUSTRATIVE EVALUATION CATEGORY	ILLUSTRATIVE RATING -POINTS (100 TOTAL)
1. Technical quality	70 POINTS
Conformity to LMD objectives and Contribution to project results and indicators for targeted groups	25
Feasibility and sustainability of design and technical approach	20
Sourcing of raw materials from smallholder farmers, or assistance provided to smallholder farmers, in targeted value chains and regions	10
Considerations for integration of gender and/or PLHIV	10
Innovative Concept	5
2. Past Performance and Institutional Capacity	15 POINTS
Management and programmatic capacity	15
3. Cost	15 POINTS
Cost efficiency	5
Cost reasonableness, allowability, allocability	5
Leveraging of other funding sources	5

1. Quality of Technical Approach

- **Feasibility of Design and Technical Approach:** The quality and feasibility of the application in terms of the viability (as measured by cost-benefit analysis) of the proposed technical approach, (i.e., the proposed technical approach can reasonably be expected to produce the intended outcomes and impact), appropriateness of the proposed methodology and implementation plan for achieving project objectives. Approaches proven to be effective or new untried approaches will be evaluated. Proposed mechanisms for monitoring and evaluation with objectively measurable indicators will also be appraised.
- **Conformity to LMD Objectives:** The extent to which the proposed activity is in line with LMD objectives. Also, the likelihood the activity will help meet project targets and project objectives after the application's monitoring & evaluation period. Applicability to project's geographic regional focus will also be considered.

- **Contribution to project results and indicators for targeted groups**
The technical approach must directly contribute to the achievement of LMD's expected results, and results must be measurable under one or more of LMD's indicators.
- **Sourcing of raw materials from smallholder farmers, or assistance provided to smallholder farmers, in targeted value chains and regions:** The extent to which, if applicable, the proposed project uses raw materials from smallholder farmers in targeted value chains and regions, or provides assistance or services to targeted smallholder farmers.
- **Considerations for Integration of Women and PLHIV:** The extent to which the proposed activity includes a gender component and represents a strong commitment to women and/or PLHIV as beneficiaries.
- **Long-term Sustainability:** The extent to which the activity will be sustainable over the long term without continued external support.
- **Innovative Concept:** The degree of innovation included in the proposal and the prospect of adoption of the innovation by other value chain businesses or organizations.

2. Past Performance and Institutional Capacity

- **Management and Programmatic Capacity:** Evidence of the capability to undertake and accomplish the proposed activities. The proposal should demonstrate the applicant's effectiveness in terms of internal structure, technical capacity, and key personnel, in meeting activity goals. In addition, the applicant must demonstrate adequate financial management capability. Appraisal will be based principally on reference checks by LMD; the background, qualifications, reputation, appropriateness and skills of its key personnel; and the "track record," reputation, and achievements of the businesses/organization involved.

3. Cost

If the grantee expects to earn project income during the award period, the technical evaluation committee (TEC) team will review to ensure the income will be applied in accordance with ADS and 22 CFR 226 regulations.

- **Cost Efficiency:** The degree to which budgeting is clear and reflects best use of applicant and grant resources, as evaluated by cost benefit analysis.
- **Cost Reasonableness, Allowability, and Allocability:** All members of the technical review committee will review the budget, making sure that the proposed costs make technical sense, meaning that they are directly linked to an activity and that they are reasonable and necessary costs.
- **Own Contribution:** The TEC will consider grant applicants' own contribution either in-kind or cash as apriority in the award process.
- **Leveraging of Other Funding Sources:** The leveraged amount reflects commitment to the project by the applicant, and local institutions. Any applicant to be supported under the project will be strongly encouraged to leverage other funding sources including loans from banks, MFIs, or others.

Additionally, LMD will ensure environmental soundness and compliance in design and implementation as required by 22 CFR 216.

SECTION V. AWARD INFORMATION

VA. EXPECTED TYPE, NUMBER, AND DURATION OF AWARDS

LMD anticipates awarding up to \$1 million USD through no more than 20 awards. Each grant award may range from between \$25,000 and \$100,000, and the type of grant will be determined during the negotiation process based on the activities proposed. The duration of any grant award under this solicitation is expected to be no more than 12 months. The estimated start date of grants awarded under this solicitation is October 15, 2013.

VB. ILLUSTRATIVE APPLICATION TIMELINE

The following is an illustrative timeline of the grants process. LMD reserves the right to make changes to the timeline as needed.

Activity	Dates
1. Request for Applications Issued	June 17, 2013
2. Stage 1 Application Questions Due to LMD	3pm, June 28
3. Stage 1 Applications Due (Grants Summary Form)	3pm, July 19
4. Applications Evaluated for Eligibility	July 19-26
5. Successful Stage 1 Applicants Notified	July 29
6. Required Stage 2 Grant Application Workshop	August 5
7. Stage 2 Full Grant Applications Due	Sept 1
8. Technical Evaluation Committee Members Review and Score Eligible Stage 2 Applications	Sept 1 - 20
9. Request Supporting Documentation from Short-listed Applicants and Conduct Site Visits	September 1 - 20
10. Announce Awards	October 1, 2013

VC. LMD GRANTS MANUAL

The LMD Grants Manual must be read and acknowledged by applicants whose grant application is selected for an award. An electronic copy may be obtained by requesting it from the Innovation Fund Manager at grants@livestockmarketdevelopment.com, or in person at the LMD Addis Ababa office (3rd and 4th floor, Palm Building, CMC road).

VD. DISCLAIMERS AND AWARD ADMINISTRATION

Neither issuance of this RFA, or assistance with application development, constitute an award or commitment on the part of LMD, nor does it commit LMD to pay for costs incurred in the preparation and submission of an application. LMD reserves the following rights:

- To cancel the solicitation without making any awards;

- To reject any or all responses received;
- To disqualify any offer based on its contents or a failure to follow application instructions;
- To award only part of the activities in the solicitation, or to issue multiple awards based on the solicitation activities;
- To waive minor proposal deficiencies that can be corrected prior to award determination to promote competition;
- To independently negotiate with any applicant and to make an award without conducting discussions based solely on the written applications if it decides it is in its best interest to do so; and
- To check applicants' references.

All grants will be negotiated, denominated and funded in Ethiopian Birr.

All costs funded by the grant must be allowable, allocable and reasonable. Grant applications must be supported by a detailed and realistic budget as described in Section IV.

Applicants will be informed in writing of the decision made regarding their application.

VE. AUTHORITY/GOVERNING REGULATIONS

LMD grant awards are made under the authority of the U.S. Foreign Affairs Act and USAID's Advanced Directive System (ADS) 302.3.5.6, "Grants Under Contracts." Awards made to non-U.S. organizations will adhere to guidance provided under [ADS Chapter 303](#), "Grants and Cooperative Agreements to Non-Governmental Organizations" and will be within the terms of the USAID [Standard Provisions for Non-U.S. Non-Governmental Recipients](#), as well as the LMD grants procedures.

ADS 303 references three additional regulatory documents issued by the U.S. Government's Office of Management and Budget (OMB) and the U.S. Agency for International Development:

- [22 CFR 226](#): Administration of Assistance Awards to U.S. Non-Governmental Organizations
- OMB Circular A-122: Cost Principles for Nonprofit Organizations
- OMB Circular A-133: Audits of States, Local Governments, and Nonprofit Organizations

Full text of the OMB circulars can be found at <http://www.whitehouse.gov/omb/circulars/>. LMD is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in these circulars, as applicable to the respective terms and conditions of their grant awards.

Under the LMD grant program, USAID retains the right at all times to terminate, in whole or in part, LMD grant-making authorities.

LIST ANNEXES –

- **Annex A** – Concept Paper
- **Annex B** – Grant Application Form
- **Annex C** – Grant Implementation Timeline
- **Annex D** – Grant Application Budget Form
- **Annex E** – Applicant Self-Assessment Form
- **Annex F** – Required Certifications
- **Annex G** – Survey on Ensuring Equal Opportunity for Applicants
- **Annex H** – Project Indicators

ANNEX A. GRANT SUMMARY FORM

GRANT SUMMARY FORM (Stage 1)

Purpose

The Grant Summary Form (Annex A) is the first stage of application under this RFA. The form is designed to gather essential basic information about the grantee and what it is proposing to do and will provide LMD a solid insight as to whether: (i) the applicant and its proposed project are eligible for grant funding; (ii) the stated objective is innovative and compatible with LMD's project requirements; and (iii) the grant concept merits development into a full application.

Instructions by Section

- Items 1-3 Applicant's name, address, telephone, e-mail, and fax (if applicable).
- Item 4 Key contact person and title. The contact person (agent) is responsible for communications between the applicant and LMD. This applies to all aspects of the grant, from initial summary through completion. The agent must have full authority and responsibility to act on behalf of the grantee. The agent should be someone who is directly involved with the grant activity and has a proven, established relationship with the grantee.
- Item 5 Briefly describe the organization/business and its activities. This section should introduce the applicant and its background—how it was formed, its mission or purpose, major accomplishments in the area of the targeted activity, current activities and clients.
- Item 6 Grant activity title: The title given to the activity should relate to the grant activity objective.
- Item 7 Problem analysis and statement in terms of (1) the situation, (2) the people, and (3) the negative condition affecting their lives. See Section IB.
- Item 8 Grant objective in terms of (1) how the negative condition for the targeted population will be changed for the better, and (2) linkage to the solicitation purpose. See Section IC.
- Item 9 Results to be achieved, linkage to grant objective, and verifiable indicators of achievement. See Sections IB and IC.
- Item 10 Identify beneficiaries, including their total number, their location, and how they will benefit from the grant. This can also be stated in terms of cost-benefit analysis.
- Item 11 Duration of Activity: This should be stated with a degree of accuracy of plus or minus two weeks.
- Item 12 Main task phases of the activity.
- Item 13 Approximate cost of this activity (cash, in-kind, and third party sources). The applicant must submit a rough estimate of the cost of the proposed activity and sources of funds, specifying how much will come from LMD, the applicant's contribution and any third party contributions. A detailed budget is not necessary at this point, only a plausible calculation, which should be within 15 % (+/-) of the final approved budget.

- Item 14 List all other U.S. Government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.

The Grant Summary Form submission (Stage 1) should not be more than four pages. No cover page is required. If the applicant submits more than the required number of pages, the submission may be disqualified.

LMD RFA No. 001 Grant Summary Form (Application Stage 1)

1	Business/Organization Name				
2	Address				
3	Telephone/fax		Email		
4	Key contact person and title				
5	Briefly describe business/organization's purpose, and past related experience.				
6	Grant activity title				
7	Problem analysis and statement in terms of the situation, the people (beneficiaries), and the condition to be positively changed.				
8	Grant objectives in terms of how the negative condition for the targeted population will be changed for the better.				
9	Results to be achieved, linked to grant objective. Must be real and verifiable results.				
10	Identify beneficiaries, their total number, location, and how they will benefit from grant.				
11	Anticipated duration of activity from start to finish.				
12	Main task phases of the activity. List in terms of Task 1, Task 2 Task 3, etc.				
13	Approximate cost of this activity (cash, in-kind, and third-party sources).			Applicant's resources	\$
				Third-party resources (identify source)	\$
				LMD	\$
				Total Estimated Cost	\$
14	List all previous donor awards or grants and amount currently being received or anticipated within the duration of the grant activity.				
Submitted by					
Name					
Signature					
Date					

ANNEX B. GRANT APPLICATION FORM

LMD GRANT APPLICATION

Note: The total number of pages for sections I, II, III, and IV may not exceed 15 pages, not including any Attachment(s), resumes and Section V.

Section I – Basic Information

1. Business'/Organization's legal name:
2. Official address:
3. Telephone: Fax: E-mail:
4. Agent and title:
5. Legal status of the business/organization:
 - Date and number of registration:
 - Tax Information Number:

Section II – Project Description

6. Grant activity title:
7. Problem analysis and statement:
8. Statement of grant objective:
9. Statement of verifiable results:
10. Methodology for measuring results:
11. Definition of successful grant objective achievement:
12. Detailed explanation of the relationship between LMD's grants purpose, the grant objectives, and results:
13. Identification of beneficiaries, including women and/or PLHIV (how many there are and how they will benefit from Grant):
14. Grant products and plan for disseminating deliverable(s) to general public:

Section III – Implementation Plan

15. Grant activity implementation plan:

- a. List of proposed personnel, including those who are "Key Personnel."

Position/Function	Name of Proposed Staff	Part-time or Full-time
1.		
2.		
etc.		

- b. Description of grant activities (*for each program component provide the following information*)

Task # Title:

1. Task description:
2. Responsible party(s):
3. Grant-financed resource required & detailed explanation of use:
4. Non-grant-financed resources required:
5. Start and end dates:
6. Milestone of achievement:

Note: All implementation plans must be supported by a chart in accordance with the example in B. that shows all identified tasks over the duration of the activity.

16. Estimated date the grant-funded activity will start:
17. Estimated date the grant-funded activity will end:
18. List all relevant material assumptions made and/or contingencies regarding third-party actions that are required for the successful achievement of the grant objective:

Section IV – Experience & Capacity

19. General organization/business background information:
20. Experience implementing similar activities:
21. List three independent qualified professional references:

Section V – Cost

A fully completed and certified *Grant Application Budget* with budget notes must support all applications.

22. Total cost of project:
23. Definition and amount of organization/business contributions in terms of cash or in-kind:
24. Definition and amount of contributions of third party(s) to activity:
25. Requested *LMD* contribution:
26. List all other U.S. Government funding by award (grant, cooperative agreement or contract) and amount currently being received or anticipated within the duration of the grant activity.
27. Long-term recurrent commitments resulting from this activity and plan for sustainable coverage:

Submitted by:

On behalf of the organization/business identified in Section I, “Basic Information,” of this *Grant Application*, I hereby certify that to the best of my knowledge, this application in its entirety contains only true and current information:

Name _____
 Title _____
 Signature _____
 Date _____

FOR PROJECT USE ONLY

Date received _____ Grant Reference No. _____

The undersigned hereby certifies that: (a) the organization/business has received an official delivery receipt for its *Grant Application*, (b) a copy of that receipt has been filed, (c) a reference number has been assigned, and (d) a grant application file has been opened. In addition, the organization/business has been advised as to the review and appraisal process, and its primary project point of contact.

Project Innovation Fund Manager _____ Date _____

Instructions by Section

Note: The total number of pages for sections I, II, III, and IV may not exceed 15 pages, not including any Attachment(s), resumes and Section V.

- Items 1-4: Applicant's name, address, etc.—Self-explanatory.
- Item 5: Legal status of Applicant—All applicants must be legally registered in Ethiopia.
- Item 6: Grant activity title—Self-explanatory.
- Items 7-9: Grant objective, results to be achieved, linkage to grant objective, and verifiable indicators of achievement—The Grant objective must compliment the purpose of the LMD Grants Fund, which is to provide assistance and support to select activities in the areas of training and extension, production capacity, product collection, services to smallholder livestock farmers or other value chain drivers, application of new, technical transfer, market development, and technical management assistance.
- Item 10: Methodology for measuring results—The applicant must present a sound but simple methodology for quantifying and qualifying verifiable indicators of achievement. If the methodology relies on baseline data, that data must be present and reliable prior to the grant activity.
- Item 11: Definition of successful achievement of the grant objective—The applicant should define what constitutes successful achievement of the sought-after objective.
- Item 12: Detailed explanation of the relationship between the grant purpose the verifiable results.
- Item 13: Identify beneficiaries (including women and PLHIV), how many and how they will benefit.
- Item 14: Plan for disseminating activity deliverables to general public.
- Item 15: Grant activity implementation plan—This item is divided into two key elements of implementation: proposed personnel to implement the grant activity and a detailed description of tasks. The tasks listed should describe actions and show a logical, thoughtful approach to the overall implementation plan. Each task must contribute to the achievement of the activity objective. The narrative should be accompanied by an Implementation Plan Timeline such as the model presented in Annex B.
- Item 16-17: Estimated dates of start-up and completion—The duration of the grant is derived from these two dates. Note: The Grant duration must be less than one calendar year.

- Item 18: List all relevant material assumptions made and/or contingencies that could have impact on the achievement of the grant objective.
- Item 19: General background information—The core competencies of the organization/business should relate to the nature and scope of the grant activity.
- Item 20: Previous or ongoing experience implementing similar activities—The Applicant presents its past experience implementing similar activities proving its track record of success. This is a critical factor in assessing the capacity of the organization/business to implement the activity. Resumes for Key Personnel must be included. Key Personnel are the individuals who are essential to perform the work. Key Personnel may not be replaced without the Grantee first notifying and justifying the replacement to the Innovation Fund Manager reasonably in advance of the key person's departure. The Innovation Fund Manager must provide written consent to the change. Failure to comply with this provision may constitute non-performance of the Grant and subject it to termination for default.
- Item 21: List three independent qualified professional references for the organization/business—Three references should be relevant to the proposed activity, independent from the organization/business, and qualified to pass along an objective, informed opinion.
- Item 22: Type cost of the activity—Includes costs covered by other sources (e.g. cost-sharing, third party, etc.) A fully completed and certified Grant Application Budget with budget notes must support all applications. The required Budget format is provided in Annex D.
- Item 23-24: Identification of organization/business, third-party, and LMD contributions.
- Item 25: Project Contribution—Amount requested by application as grant from LMD.
- Item 26: List all other U.S. Government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.
- Item 27: Recurrent commitments— LMD grant-funded activities should have an element of sustainability. Briefly describe any continuing activities and how they will be funded after the grant.

ANNEX C. IMPLEMENTATION PLAN TIMELINE

IMPLEMENTATION PLAN																
Activity List each activity. Please be as specific as possible. Use additional pages if necessary.	Target Audience (if applicable) Who is the audience targeted for the activity and where are they located?	12 Month Timeline Place an X in the appropriate box to indicate the first and last month of the activity.												Person(s) Responsible Who is responsible for implementing the activity?	Evaluation Indicators How will you measure the success of the activity?	
		1	2	3	4	5	6	7	8	9	10	11	12			

ANNEX D. GRANT APPLICATION BUDGET

D.1. Purpose

These forms, when properly completed, reviewed, and approved, serve as the mutually agreed-upon “roadmap” for activity financial management. All activity costs must be identified. Cost data must be accurate. Proposed amounts should not be unrealistically high or low. To be successful, a grant activity must be adequately funded—not over-funded or under-funded. For simplified grants the budget application is the *financial plan summary form*. For standard project grants and fixed-obligation grants the forms consist of a summary budget form and the monthly budget breakout form. LMD staff will provide instructions at the Grant Application Workshop on which budget type is appropriate.

D.2. Instructions

Budget Template

Salaries—Salary or any other form of direct payment of grant funds to any organization/business employee (or consultant) who is directly engaged with the grant activity implementation plan.

Benefits— For the allocated portion of the salary of the referenced personnel, in accordance with the Applicant’s established policy and procedures, and Ethiopian laws.

Other Direct Costs—This covers non-personnel-related costs allocated to implementation of the grant activity (for example, supplies, Applicant office rent, utilities, etc.).

Activity Service Delivery—Examples include the cost of renting a training facility or printing training documents.

Travel & Transportation—This covers activity staff and/or beneficiary travel costs and per diem, plus the cost of transporting activity materials.

Goods & Materials—This covers equipment and furnishings to be purchased specifically for the proposed grant activity; must adhere to USAID local procurement regulations. (Simplified Grants are limited to equipment items with less than one-year shelf-life and a value less than \$5,000)

- **In-direct costs**—Budget any indirect costs that are substantiated by an independent audit by a qualified audit firm, and submit the relevant audit report. (Standard Project Grants only)

All proposed Grant activity costs must be within the normal operating practices of the Applicant and in accordance with its written policies and procedures.

All line items must be supported by budget notes with enough detail to permit a determination of cost allowability with respect to OMB Circular A-122 (see Annex L). Budgeted amounts must also be supported by justification, and the applicant must be able to provide such backup documentation to the Project if requested.

Monthly Budget Breakout Template

The monthly budget breakout form contains the same budget information broken out in the anticipated monthly expenditures. This aids in projecting cash flow needs.

All proposed Grant activity costs must be within the normal operating practices of the Applicant and in accordance with its written policies and procedures.

All line items must be supported by budget notes with enough detail to permit a determination of cost allowability with respect to OMB Circular A-122. Budgeted amounts must also be supported by justification, and the applicant must be able to provide such backup documentation to the project if requested.

LMD GRANT BUDGET FORM

Organization/Business Name:

Grant Activity Title:

Item	Amount to be funded by the grant	Cost-sharing amount	Total
1. Salaries			
Subtotal			
2. Benefits			
Subtotal			
3. Other Direct Costs			
Subtotal			
4. Activity Service Delivery			
Subtotal			
5. Travel & Transportation			
Subtotal			
6. Goods & Materials			
Subtotal			
7. Indirect costs			
Subtotal			
TOTAL			

Note: Budget notes are required for each line item in sufficient detail to facilitate a complete cost allowability determination in accordance with applicable cost principles. The above cost data is certified to be accurate, complete, current, and allowable per the guidance found in the Project Grants Manual.

Organization/Business Agent _____ Date _____

Budget Monthly Breakout

Organization/Business Name:

Grant Activity Title:

	MONTHS												
Item	1	2	3	4	5	6	7	8	9	10	11	12	Total
1. Salaries													
Subtotal													
2. Benefits													
Subtotal													
3. Other Direct Costs													
Subtotal													
4. Activity Service Delivery													
Subtotal													
5. Travel													
Subtotal													
6. Goods & Materials													
Subtotal													
7. Indirect costs													
Subtotal													
TOTAL													

ANNEX E. APPLICANT SELF ASSESSMENT FORM

This form is required to be completed by the applicant and submitted to LMD, along with the grant application. It is used as part of LMD's assessment of an applicant's adherence to eligibility requirements as well as capacity to adequately handle grant funds. It may be used in lieu of or in conjunction with other pre-award responsibility determination tools.

LMD Applicant Self Assessment Form

Accepting a grant from LMD creates a legal duty for the Grantee to use the funds according to the grant agreement and to United States federal regulations. Before awarding a grant, LMD must assess the adequacy of the financial and accounting systems of a prospective grantee to ensure accountability.

To complete this form, answer each question as completely as possible, using extra pages if necessary. Please return your completed form to LMD.

APPLICANT INFORMATION

Name of Organization/Business:

Activity Title:

Name, Title, Contact Information of Individual Completing Questionnaire:

SECTION A: INTERNAL CONTROLS

Internal controls are procedures that ensure:

- a. Financial transactions are approved by an authorized individual and follow laws, regulations, and the organization's policies,
- b. Assets are kept safely,
- c. Accounting records are complete, accurate, and kept on a regular basis.

Please complete the following concerning your organization's/businesses' internal controls:

1. The name, position/title, and telephone number for the individuals responsible for verifying allowability of expenditures.

Name:

Title:

Telephone number:

2. The name, position/title, and telephone number for the individual responsible for maintaining accounting records:

Name:

Title:

Telephone number:

3. List the name, position/title, and telephone number for the individual responsible for preparing financial reports:

Name:

Title:

Telephone number:

4. List the name, position/title, and telephone number for the individual responsible for preparing narrative reports:

Name:

Title:

Telephone number:

5. Does the organization keep timesheets for each paid employee?

Yes: ___ No: ___

6. Is your organization familiar with U.S. Government regulations concerning costs which can be charged to U.S. grants (OMB Circular A-122 "Cost Principles for Nonprofit Organizations" or OMB Circular A-21 "Cost Principles for Educational Institutions")?

Yes: ___ No: ___

SECTION B: ACCOUNTING SYSTEM

The purpose of an accounting system is to (1) accurately record all financial transactions; and (2) ensure that all financial transactions are supported by invoices, timesheets and other documentation.

The type of accounting system often depends on the size of the organization. Some organizations may have computerized accounting systems, while others use a manual system to record each

transaction in a ledger. In either case, LMD Grant funds must be properly authorized, used for the intended purpose, and recorded in an organized and regular manner.

1. Briefly describe your organization's/businesses' accounting system including: (A) any manual ledgers used to record transactions (general ledger, cash disbursements ledger, suppliers ledger etc.); (B) any computerized accounting system used (please indicate the name); and (C) how transactions are summarized in financial reports, (by the period, project, cost categories).

2. Does your organization have written accounting policies and procedures?

Yes: ____ No: ____

3. Are your financial reports prepared on a:

Cash basis: ____ Accrual basis: ____ (Accrual = bill for costs before they are incurred)

4. Can your accounting records separate the receipts and payments of the LMD grant from the receipts and payments of your organization's other activities?

Yes: ____ No: ____

5. Can your accounting records summarize expenditures from the LMD grant according to different budget categories such as salaries, rent, supplies, and equipment?

Yes: ____ No: ____

6. How do you allocate costs that are “shared” by different funding sources, such as rent, utilities, etc.?

7. How often are financial reports prepared?

Monthly: ____ Quarterly: ____ Annually: ____

If financial reports are not prepared, then briefly explain why they are not:

8. How often do you input entries into the financial system?

a. Daily ____ b. Weekly ____ c. Monthly ____ d. Ad hoc/as needed ____

9. How often do you do a cash reconciliation?

a. Daily ____ b. Weekly ____ c. Monthly ____ d. By accountants decision ____

10. Do you keep invoices, vouchers and timesheets for all payments made from grant funds?

Yes: __ No: __

SECTION C: FUNDS CONTROL

LMD will reimburse its grant recipients by bank transfer in Ethiopian Birr to the Grantee organization's bank account based on the submission of receipts. Access to the bank account must be limited to authorized individuals.

1. Do you have a bank account registered in the name of your organization?

Yes: __ No: __

2. Are the bank account and its signatories authorized by the organization's Board of Directors, Trustees, or other authorized persons?

Yes: __ No: __

SECTION D: AUDIT

LMD may require an audit of your organization's accounting records. An audit is a review of your accounting records by an independent accountant who works for an accounting firm. An audit report contains your financial statements as well as an opinion by the accountant that your financial statements are correct. Please provide the following information on prior audits of your organization.

1. Does your organization contract and pay for regular independent audits?

Yes: __ (please provide the most recent copy) No audits performed: __

2. If regular independent audits are performed, who performs the audit?

Name:

Company:

Telephone number:

3. How often are audits performed?

Quarterly: __ Yearly: __ Every two years: __

Other: __ (explain) _____

4. If your organization does not have a current audit of its financial statements, please provide a copy of the following financial information, if available:

- a. "Balance Sheet" for your prior fiscal or calendar year; and
- b. "Revenue and Expense Statement" for your prior fiscal or calendar year.

5. Are there any reasons (local conditions, laws, or institutional circumstances) that would prevent an independent accountant from performing an audit of your organization?

Yes: ____ No: ____

If yes, please explain: _____

CHECKLIST AND SIGNATURE PAGE

LMD requests that your organization submit a number of documents along with this completed questionnaire. Complete this page to ensure that all requested information has been included.

Please complete the checklist below, then sign and return the questionnaire and any other requested documents to LMD.

1. Complete the checklist:

☐ Incorporation papers or certificate of registration and statute have been provided to LMD.

☐ Organizational chart, if available, has been provided to LMD.

☐ Copy of your organization's most recent audit has been provided to LMD (Alternatively, if there has been no recent audit, then a "Balance Sheet" and "Revenue & Expense Statement" for the prior fiscal year must be provided to LMD).

☐ All questions on this questionnaire have been fully answered.

☐ The organization's/business' authorized agent has signed and dated this page.

The accounting questionnaire must be signed and dated by the organization's authorized Agent who has either completed or reviewed the form.

Approved by:

Print Name

Signature

Title

Date

ANNEX F. Required Certifications Package

USAID requires that recipients sign the following certifications as a prerequisite to receiving a grant from a U.S. Government source. This applies to all institutions receiving grants from LMD.

CERTIFICATION REGARDING TERRORIST FINANCING

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaeda Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-

- a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe-houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.
- b. “Terrorist act” means-(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

APPLICANT:

Name: _____

Signature: _____

Title: _____

Date: _____

RECIPIENT CERTIFICATE OF COMPLIANCE

To: LMD Innovation Fund Manager

I, _____, _____, as a legally authorized
Name (Printed or Typed) Titlerepresentative of _____
Organization/Business Name

do hereby certify that, to the best of my knowledge and belief, this organization's/business' management and other employees responsible for their implementation are aware of the requirements placed on the organization/business by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel, and procurement under this agreement and I further certify that the organization/business is in compliance with those requirements.

I/we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I/we, further agree to instruct the accounting firm that this organization/business retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Name: _____ Signature: _____

Title: _____ Date: _____

ANNEX G. Survey on Ensuring Equal Opportunity for Applicants

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization/Business) Name: _____

Applicant's DUNS Number: _____

Federal Program: _____ **CFDA Number:** _____

1. Has the applicant ever received a grant or contract from the Federal government?

☐ Yes

☐ No

2. Is the applicant a faith-based organization?

☐ Yes

☐ No

3. Is the applicant a secular organization?

☐ Yes

☐ No

4. Does the applicant have 501(c)(3) status?

☐ Yes

☐ No

5. Is the applicant a local affiliate of a national organization?

☐ Yes

☐ No

6. How many full-time equivalent employees does the applicant have? (*Check only one box.*)

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-14

☐ over 100

7. What is the size of the applicant's annual budget? (*Check only one box.*)

☐ Less Than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

ANNEX H – LMD Indicators

1. Number of Jobs Attributed to Project Implementation

This is a direct measure of improved livelihoods, as it measures the creation of employment and related income. However, the project is concerned about creation of sustainable employment, not temporary employment (of short duration such as a period of less than one month). “Jobs” refers to all types of employment opportunities created during the reporting year in livestock value chains- or rural-related enterprises (paid on-farm/off farm employment). Jobs lasting less than one month are not counted in order to emphasize those jobs that provide more stability through length. Jobs should be converted to full-time equivalents. Thus, a job that lasts 4 months should be counted as 1/3 of a unit of full-time employment (FTE). Number of hours worked per day or per week is not restricted, as work hours may vary greatly. “Attribution to FTF implementation” includes farming and non-farm jobs where FTF investments were intentional in assisting in any way to expand (or contract) jobs and where a project objective of the FTF investment was job creation.

2. Gross Margin Per Unit of Animal of Selected Product

Gross margin per animal is a measure of net income for that livestock activity. Improving the gross margin of farm commodities contributes to increasing the incomes of farmers, and thus directly contributes to the project goal of improving smallholders’ incomes. The gross margin is the difference between the total value of production of the agricultural product (milk and live animals) and the cost of producing that item, divided by the total number of units in production (number of animals for milk and live animals).

3. Value of Exports of Targeted Agricultural Commodities as a Result of the Project Assistance

This indicator will measure the value of regional and non-regional exports in USD attributable to Project assistance. Exports should be counted against the baseline of existing export levels from the previous year (existing exports before the Project interventions for the first year, and additional exports for subsequent years). Exports can include those within and outside of neighboring regions so as to avoid loss of counter-seasonal exports, which often leave the proximate region. Increased agricultural product exports signal greater competitiveness in the international market. This indicator also provides insight for project management as to whether new export markets and/or product lines have been created as a result of Project interventions.

4. Value of New Private Investment in the Livestock Sector Leveraged by the Project Implementation

This indicator measures the value of new private investment in the livestock sector leveraged due to the Livestock Market Development project implementation. “Investment” is defined as any use of private sector resources intended to increase future production output or income or to improve the sustainable use of agriculture-related natural resources. The “food chain” includes both upstream and downstream investments. “Upstream investments” include any type of livestock capital used in the livestock and livestock products production process, such as tanneries, meat factories and new dairy product lines such as ultra-high temperature (UHT) milk processing. “Downstream investments” could include capital investments in equipment,

packaging, etc. to carry out post-harvest transformation/processing of livestock products, as well as the transport of livestock products to markets. Increased investment is the predominate source of economic growth in the livestock and other economic sectors. Private sector investment is critical because it indicates that the investment is perceived by private agents to provide a positive financial return, and therefore is likely to lead to sustainable increases in livestock production and create urban and rural jobs. In addition, increase investment will expand production capacity, which will create supply-responsive markets and thereby increase livestock production by smallholder farmers. Agricultural growth is critical to achieving the Project goal to “improve smallholder incomes and nutritional status.”

5. Number of Micro, Small, and Medium Enterprises (MSMEs) Receiving USG Assistance to Access Loan

This indicator is a direct measure of project impact on promoting access to inputs (financial inputs) for participating livestock firms. Lack of access to financial capital is frequently cited as a major impediment to the development of MSMEs; therefore, helping MSMEs to access finance is likely to increase investments and the value of output (production in the case of farmers, as well as value-added livestock processing). This will directly contribute to the expansions of markets, increased livestock productivity and the reduction of poverty. The indicator counts the total number of micro (1-5 employees), small (6-50 employees), and medium (51-100 employees) enterprises receiving assistance. Number of employees refers to full time-equivalent workers during the previous month. MSMEs include producers (farmers). Producers should be classified as micro, small or medium-enterprise based on the number of FTE workers hired (permanent and/or seasonal) during the previous 12 months. If a producer does not hire any permanent or seasonal labor, s/he should be considered a micro-enterprise. To be counted an MSME, the enterprise/producer must have received assistance from the project which resulted in a loan from any financial institution, formal or informal, including microfinance institutions (MFIs), commercial banks, or informal lenders, as well as from lenders of resources in-kind, such as equipment (e.g. tractor, plow), other agricultural inputs (e.g., fertilizer or seeds), or transport, with repayment in cash or in kind. The project assistance may include partial loan guarantee projects or any support facilitating the receipt of a loan.

6. Number of Individuals Who Have Received Project Supported Short-term Livestock Sector Productivity Training

The indicator measures enhanced capacity for increased livestock productivity, improved food security, and policy formulation and/or implementation, which are key to transformational development. “Number of individuals who have received project supported short-term livestock sector productivity training” refers to the number of individuals to whom significant knowledge or skills have been imparted through interactions that are intentional, structured, and purposed for imparting knowledge or skills. This includes farmers, ranchers, and other primary sector producers who receive training in a variety of best practices in productivity, post-harvest management, linking to markets, feedlots, tanneries, slaughter houses and slabs, live animal traders, milk collection/bulking centers, cooperatives, savings and credit service providers, feed dealers, feed mills and manufacturers, small sale livestock processors, veterinary services, breeding ranches, artificial insemination services, laboratories, and other business development services providers. It also includes rural entrepreneurs, processors, managers and traders receiving training in application of new technologies, business management, linking to markets, etc., and training to extension specialists, researchers, policymakers and others who are engaged in the food, feed and fiber system and natural resources and water management. In-country and off-shore training are included. This also includes training on climate risk analysis, adaptation,

mitigation, and vulnerability assessments as they relate to livestock. Delivery mechanisms can include a variety of extension methods as well as technical assistance activities. The measure refers to the total number of project-assisted enterprises whose management practices (financial management, strategic planning, marketing, etc) improved as a result of technical assistance received by the project and measured through follow-up visits and business and/or operations performance.

7. Number of Food Security Private Enterprises (for profit), Producer Organizations, Water users Associations, Women's Groups, Trade and Business Associations, and Community Based Organizations (CBOs) Receiving the Project Assistance

This indicator refers to the total number of private enterprises, producers' associations, cooperatives, producers' organizations, women's groups (comprised of five or more members), trade and business associations and community-based organizations, including those focused on natural resource management, which received the Project assistance related to food security during the reporting year. "Assistance" includes support that is aimed at strengthening organizations' functions, such as member services, storage, processing and other downstream techniques, and management, marketing and accounting. The indicator tracks firms'/organizations' capacity in areas essential to increasing the productivity of the livestock sector. The indicator also informs management on new business organizations created as a result of project interventions while expanding business-to-business networking.

8. Value of Agricultural and Rural Loans

This indicator measures the project's impact on promoting access to finance. Increased access to finance will encourage increased investment in the sector, which will lead to increases in livestock production and create urban and rural jobs. In addition, increased access to finance will stimulate investments, which expand production capacity and therefore will create supply-responsive markets for increased livestock production by smallholder farmers. This indicator measures the sum of the value of the loans made (i.e. disbursed) to producers (farmers, ranchers etc.), input suppliers, transporters, processors, and loans to other MSMEs in rural areas that are in a targeted agricultural value chain, as a result of the project assistance during the reporting year. The indicator counts loans disbursed to the recipient, not loans merely made (e.g. in process, but not yet available to the recipient). The loans can be made by any size financial institution from micro-credit through national commercial bank, and includes any type of micro-finance institution, such as an NGO.

9. Value of Incremental Sales (collected at the farm level) Attributed to Project Implementation

This indicator will collect data on both the volume (in metric tons) and value (in US dollars) of purchases of products from smallholder producers of targeted commodities for its calculation. The value of incremental sales indicates the value (in US dollars) of the total amount of agricultural products sold by farm households relative to a base year. The value (in US dollars) of purchases from smallholders of targeted commodities is a measure of the competitiveness of those smallholders. This measurement also helps track access to markets and progress toward commercialization by subsistence and semi-subsistence smallholders. Improving markets will contribute to the project IR of increased productivity and competitiveness of the three value chains, which in turn will increase income and thus achieve the project goal.

10. Number of Farmers and Others Who Have Applied New Technologies or Management Practices as a Result of the Project Assistance

This indicator measures the total number of farmers, ranchers and other primary sector producers of livestock products, individual processors (not firms), rural entrepreneurs, managers and traders, natural resource managers, etc. that applied new technologies anywhere within the value chain the food system as a result of the project assistance. This includes innovations in efficiency, value-addition, animal husbandry management, sustainable land management, forest and water management, managerial practices, input supply delivery. Any technology that was first applied in a previous year and that continues to be applied should be included as “continuing.” Technologies to be counted include livestock-related technologies and innovations, including those, which address climate change adaptation and mitigation (including, but not limited to, carbon sequestration, clean energy, and energy efficiency as related to livestock). Technological change and its adoption by different actors in the value chain will be critical to increasing agricultural productivity, which is essential to the achievement of the IR of increased productivity and competitiveness of selected livestock value chains.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.